

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

---

In re Patent Application of:  
Ralf Flachmann et al.

Application No.: 10/569022

Confirmation No.: 4127

Filed: February 17, 2006

Art Unit: 1651

---

For: METHOD FOR PRODUCING  
KETOCAROTENOIDS IN GENETICALLY  
MODIFIED, NON-HUMAN ORGANISMS

---

Examiner: Not Yet Assigned

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicants, a marked-up copy of which is attached hereto, has one error under the Foreign Applications Data. As shown on the original Declaration, Power of Attorney and Petition, which was filed with the application on February 17, 2006, a copy of which is attached hereto, the German Application should read as follows:

GERMANY 10 2004 007 622.7 02/17/2004

Applicants additionally request that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect these corrections.

As the error was made by the Patent and Trademark Office, Applicants believe no fee is due with this request.

However, if a fee is due, please charge our Deposit Account No. 03-2775, under Order No. 13173-00025-US from which the undersigned is authorized to draw.

Respectfully submitted,

By Roberte M. D. Makowski

Roberte M. D. Makowski

Registration No.: 55,421

CONNOLLY BOVE LODGE & HUTZ LLP

1007 North Orange Street

P.O. Box 2207

Wilmington, Delaware 19899

(302) 658-9141

(302) 658-5614 (Fax)

Attorney for Applicants

476564



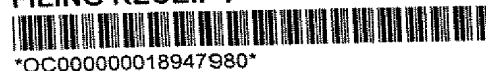
## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/569,022	02/17/2006	1651	1150	1317300025US		12	2

CONFIRMATION NO. 4127

## FILING RECEIPT



\*OC000000018947980\*

23416  
 CONNOLLY BOVE LODGE & HUTZ, LLP  
 P O BOX 2207  
 WILMINGTON, DE 19899

Date Mailed: 05/31/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Ralf Flachmann, Quedlinburg, GERMANY;  
 Christel Renate Schopfer, Quedlinburg, GERMANY;  
 Karin Herbers, Quedlinburg, GERMANY;  
 Irene Kunze, Gatersleben, GERMANY;  
 Matt Sauer, Quedlinburg, GERMANY;  
 Martin Klebsattel, Quedlinburg, GERMANY;  
 Thomas Luck, Neustadt, GERMANY;  
 Dirk Voeste, Limburgerhof, GERMANY;  
 Angelika-Maria Pfeiffer, Birkenheide, GERMANY;

## Assignment For Published Patent Application

SunGene GmbH, GATERSLEBEN, GERMANY

Power of Attorney: The patent practitioners associated with Customer Number **23416**.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP04/08623 07/31/2004

## Foreign Applications

EUROPEAN PATENT OFFICE (EPO) PCT/EP03/09102 08/18/2003  
 EUROPEAN PATENT OFFICE (EPO) PCTEP0309107 08/18/2003  
 EUROPEAN PATENT OFFICE (EPO) PCTEP0309105 08/18/2003  
 EUROPEAN PATENT OFFICE (EPO) PCTEP0309106 08/18/2003  
 EUROPEAN PATENT OFFICE (EPO) PCTEP0309109 08/18/2003  
 EUROPEAN PATENT OFFICE (EPO) PCTEP0309101 08/18/2003  
GERMANY 10 204 007 622.7 02/17/2004

GERMANY 10 2004 007 622

If Required, Foreign Filing License Granted: 04/28/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/569,022**

Projected Publication Date: 08/31/2006

Non-Publication Request: No

Early Publication Request: No

Title Method for producing ketocarotinoids in genetically modified, non-human organisms

Preliminary Class  
435

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184**

## Title 37, Code of Federal Regulations, 5.11 & 5.15

### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

## *Declaration, Power of Attorney and Petition*

We (I), the undersigned inventor(s), hereby declare(s) that:

My residence, post office address and citizenship are as stated below next to my name,

We (I) believe that we are (I am) the original, first, and joint (sole) inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled

the specification of which

☐ is attached hereto.

☐ was filed on \_\_\_\_\_ as

Application Serial No. \_\_\_\_\_

and amended on \_\_\_\_\_

☒ was filed as PCT international application

Number PCT/EP2004/008623

on 31 July 2004

and was amended under PCT Article 19

on \_\_\_\_\_ (if applicable)

We (I) hereby state that we (I) have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We (I) acknowledge the duty to disclose information known to be material to the patentability of this application as defined in Section 1.56 of Title 37 Code of Federal Regulations.

We (I) hereby claim foreign priority benefits under 35 U.S.C. § 119(a) - (d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International Application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International Application having a filing date before that of the application on which priority is claimed. Prior Foreign Application(s)

Application No.	Country	Day/Month/Year	Priority Claimed
PCT/EP03/09102	PCT	18 August 2003	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCT/EP03/09107	PCT	18 August 2003	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCT/EP03/09105	PCT	18 August 2003	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCT/EP03/09106	PCT	18 August 2003	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCT/EP03/09109	PCT	18 August 2003	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCT/EP03/09101	PCT	18 August 2003	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
102004007622.7	Germany	17 February 2004	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

We (I) hereby claim the benefit under Title 35, United States Codes, § 119(e) of any United States provisional application(s) listed below.

_____	_____
(Application Number)	(Filing Date)
_____	_____
(Application Number)	(Filing Date)

We (I) hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International Application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International Application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status (pending, patented, abandoned)
_____	_____	_____
_____	_____	_____
_____	_____	_____

I hereby appoint the registered practitioner(s) associated with Customer No. **23416** to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith. Direct all correspondence to Customer Number **23416**.

We (I) declare that all statements made herein of our (my) own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.



Ralf Flachmann  
NAME OF SOLE OR FIRST INVENTOR

Ralf Flachmann  
Signature of Inventor

Date 20. Aug. 2004

Residence:  
Halberstädter Str. 20a  
06484 Quedlinburg  
Germany  
Citizen of Germany  
Post Office Address: same as residence

Christel Renate Schopfer  
NAME OF SECOND JOINT INVENTOR

C. Schopfer  
Signature of Inventor

Date 20. Aug. 2004

Residence:  
Konvent 38  
06484 Quedlinburg  
Germany  
Citizen of Germany  
Post Office Address: same as residence

Karin Herbers  
NAME OF THIRD JOINT INVENTOR

Karin Herbers  
Signature of Inventor

Date 20. Aug. 2004

Residence:  
Am Hange 6  
06484 Quedlinburg  
Germany  
Citizen of Germany  
Post Office Address: same as residence

Irene Kunze  
NAME OF FOURTH JOINT INVENTOR

Irene Kunze  
Signature of Inventor

Date 20. Aug. 2004

Residence:  
Mühlenweg 11  
06466 Gatersleben  
Germany  
Citizen of Germany  
Post Office Address: same as residence

Matt Sauer  
NAME OF FIFTH JOINT INVENTOR

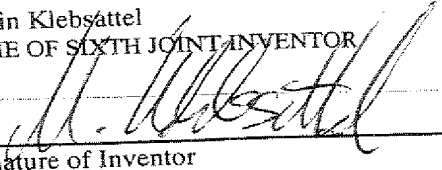
Matt Sauer  
Signature of Inventor

Date 20. Aug. 2004

Residence:  
Markt 9  
06484 Quedlinburg  
Germany  
Citizen of United States of America  
Post Office Address: same as residence

Martin Klebsattel

NAME OF SIXTH JOINT INVENTOR

  
Signature of Inventor

Date 20. Aug. 2004

Residence:

Weingarten 9

06484 Quedlinburg

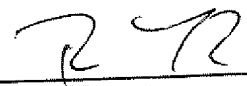
Germany

Citizen of Germany

Post Office Address: same as residence

Thomas Luck

NAME OF SEVENTH JOINT INVENTOR

  
Signature of Inventor

Date 16. Aug. 2004

Residence:

Holzmühlstr. 7

67435 Neustadt

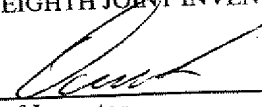
Germany

Citizen of Germany

Post Office Address: same as residence

Dirk Voeste

NAME OF EIGHTH JOINT INVENTOR

  
Signature of Inventor

Date 16. Aug. 2004

Residence:

Berliner Platz 11

67117 Limburgerhof

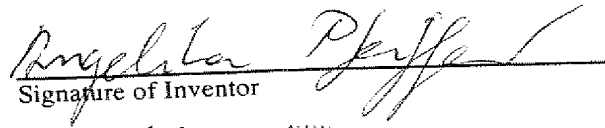
Germany

Citizen of Germany

Post Office Address: same as residence

Angelika-Maria Pfeiffer

NAME OF NINTH JOINT INVENTOR

  
Signature of Inventor

Date 16. Aug. 2004

Residence:

Hundertmorgenstr.50

67134 Birkenheide

Germany

Citizen of Germany

Post Office Address: same as residence